TO: GOVERNMENT OVERSIGHT COMMITTEE
FROM: CHARLIE SMITHSON, ETHICS BOARD DIRECTOR & COUNSEL
DATE: JANUARY 24, 2005
Re: ELECTRONIC FILING QUESTIONS

This memorandum is in response to a directive from the Government Oversight Committee for the Iowa Ethics and Campaign Disclosure Board (Board) to answer certain questions concerning the Board's electronic filing system for campaign disclosure reports.   The Committee's questions and the Board's responses are as follows:

1. What was total dollar amount/billable hours charged to the board by ITE for the original implementation of the electronic filing system?

I believe that ITE (Iowa Technology Enterprise) will respond to this question. The Board does note that the former director of ITD (Iowa Technology Department) agreed to waive any costs to the Board for initial work done on the project due to the poor quality of the original system. The current CEO of ITE agreed to continue that practice until a completed system was delivered to the Board. The Board also notes that numerous hours of Board staff time has been, and continues to be, spent on this project. This results in other duties not being accomplished in a timely fashion and the Board has no vehicle to recoup the cost of staff time spent trying to help complete the project.

2. When was this system considered to be "up and running"?

The system was initially implemented in January of 2002. There remained a series of issues that were resolved by June of 2004, at which time the Board was under the impression that the system was completed and fully functional. In November of 2004, the Board received a bill for approximately $31,000 for approximately 366 hours of work done from July through October of 2004. The Board then had no choice but to question the functionality of the system as delivered.

3. What problems arose after implementation of the system? Were the 300 billable hours charged to the board the result of unforeseen/unexpected "bugs" in the system, i.e., troubleshooting? Were any of these billings related to ongoing maintenance needs for the electronic filing system? Or was it a combination of these two categories?

I have attached a document that ITE provided the Board concerning the issues that were worked on during July through October of 2004.

4. If so, can ITE provide a breakdown of how much the board was billed for ongoing maintenance costs, and how much for solving problems that emerged after the system was implemented?

This question is addressed to ITE. However, see the attached document.

5. Are there special considerations in implementing, troubleshooting, and maintaining an electronic filing system for campaign reports that do not exist in with the development of

other information technology systems? In other words, what might be unique about this system that has led to an apparent high level of post-implementation billings in this case?

This question is best answered by ITE.

6. According to Director Smithson, ITE has agreed to waive an unknown portion of the billing. Can you tell the committee what factors were or are being considered in negotiating the decrease in billable hours?

Staff of ITE and the Board met and went through each item on the attached list to determine whether or not the issue was related to the system or was a problem that should have been detected by the Board during testing. There was also an item relating to the Iowa Democratic Party contacting ITE that the Party has agreed to pay for directly.

7. Are there other "high-risk" information technology systems currently being implemented by state government (other than I/3) where the potential exists for ITE to bill substantial charges for problems or ongoing maintenance after initial implementation of the system?

This question is best answered by ITE.

8. Can ITE provide a summary report to the committee, by state agency and by category, on the implementation, ongoing maintenance, and post-implementation troubleshooting dollar amounts and billable hours charged to each department for information technology projects in the past year or two?

This question is addressed to ITE.

IECDB WRS Requests To Date for Fiscal Year 2005

The following shows a breakdown of the time each person spent on the WRS application, by month, since the start of FY '05. We verified that no time was recorded to WRS FY05 Support that should have been recorded to an IOWAccess-funded project.

	Jul-04	Aug-04	Sep-04	Oct-04	FYTD
Dennis Cowen	42.5	38.5	28.0	21.0	130.0
Mendy Baugh	2.0	0.0	0.0	0.0	2.0
Marshall Fuqua	4.0	0.0	0.0	1.5	5.5
Matt Harshbarger	6.0	7.0	15.0	4.3	32.3
Murali Kotla	36.5	24.5	12.0	32.3	105.3
Mike Phillips	17.0	21.0	9.0	45.0	92.0
Totals	*108.0*	*91.0*	*64.0*	*104.2*	**367.2**

Totals subject to rounding

	Jul-04	Aug-04	Sep-04	Oct-04	FYTD
Technical	52.0	4.0	23.0	76.2	155.2
Customer	56.0	87.0	41.0	28.0	212.0
Totals	*108.0*	*91.0*	*64.0*	*104.2*	**367.2**

Following is a list of the requests, questions and issues that IECDB staff forwarded to us pertaining to support of the WRS application. If the request was provided in an email, the date, subject, and sender (in parenthesis) are shown. Also listed is the name of the person or persons who were most likely involved in responding to the request. Dennis Cowen is the primary point of contact for this application and, therefore, was involved in coordinating work and follow-up on most of the requests.

Item #	Hours - Technical	Date		
				Hours - Customer
1	9.0	6/28/2004	Note "#1319 Putney – incorrect start date" (Linda) – Matt/Murali/Dennis	Moved production data to test/dev. Matt debugged and corrected problem in the code and fixed the data. Plus 2 hours of Marshall's and 1 hour of Mendy's time.	
2	16.0	7/15/2004	Note "New filings not in public view" (Linda) – Murali/MikeDennis	BO Reports from the night before were not showing up because the nightly process had timed out. Researched the problem, changed the time-out parameters and made a special run.	
3		7/15/2004	Note "scanned docs server access – IP numbers" (Karen) – Dennis	IECDB had changed machines so had to coordinate with the network staff to change the IP address used.	2.0
4		7/15/2004	Note "committee problem logging in" (Karen) – Matt/Murali	Wrote a script to run to unlock the committee's account. Migrated data problem. 2 hours Mendy's time.	12.0
5	2.0	7/16/2004	Note "Slate Committee #1216 Filing Due July 19, 2004" (Linda) – Matt/Dennis	Committee was getting an error when trying log into WRS to file. Restarted the application to resolve the problem.	
6	1.0	7/16/2004	Note "WRS is down" (Linda) – Dennis	Restarted application.	
7		7/16/2004	Note "WRS - July 19 due date" extra 7/19 runs (Karen) – Dennis/Murali/Mike	Set up nightly BO process to run two extra runs during the day on the 19th. Included setting the triggers, creating BO reports, moving them to IECDB server, running process to create directories and rename reports, and move reports to the directories.	10.0
8		7/16/2004	Note "Iowa Democratic Party XML filing" (Linda) – Matt/Murali/Dennis	IDP had new technical person that needed Matt's help in electronically submitting his file through the WRS application. Problem was encountered with all records that had an expenditure type with a "&" in name. Matt changed to a value that was not used in his file, and then changed it in the database.	4.0
9	2.0	7/19/2004	Note "Unable to create BO report - Cannot find server" (Linda) – Dennis	The BO server had to be restarted to resolve this problem.	

Item #	Hours - Technical	Date			Hours - Customer
10	12.0	7/19/2004	Note "#681 Arnold committee - unable to create period" (Linda) – Matt/Murali/Dennis	The committee was not able to create the period they needed. Matt changed the last period and then created the new period. They couldn't file the report, so Matt fixed that problem for them. Then the reports for that period wouldn't show up in the public view. There were several issues with this and Matt and Mike were able to fix data.	
11		7/21/2004	Note "Quick Status" (Dennis to Karen) – Mike/Murali/Dennis	Mike put in the fix last night for the committees that had an apostrophe in their name. The apostrophe won't show up in the name of the folder, but the reports should now all go to the correct place. Murali said he has about 85,000 of the old reports yet to process. He said he hopes to be nearly finished in a couple of days.	16.0
12	5.0	7/26/2004	Note "submitting report error #1444 Whitead" (Linda)- Matt/Murali/Dennis	Getting an error message and unable to submit. Had to fix the error and submit the report with a filing date of the 19th. Moved Production data to test/dev, 2 hours of Marshall's time. Not reproducable	
13		7/27/2004	Note "Cleanup of Reports and Universes" (Dennis to Karen/Linda) – Dennis	We identified only the reports and universes that are currently needed for Campaign Finance in order to clean up what is out there. The database staff then rolled out all the ones not used anymore so the only ones seen are the ones they need.	12.0
14	5.0	7/30/2004	Note "Bug submitting supplementary report as manual user" (Linda) – Matt/Mike/Dennis	Linda keeps getting a white screen when trying to submit the supplementary report when the incorrect dates came up for the filing period. Matt researched and resolved this issue.	

52.0	Totals for Month	56.0

Item #	Hours - Technical	Date		Hours - Customer
15	1.0	8/3/2004	Note "Unable to log into WRS" (Linda) – Dennis	The application was restarted and WRS started working again.	
16		8/4/2004	Note "Print function" (Sue) – Dennis/Mike	There were several missing DR2 reports in the WRS application, and Sue was getting the "this page is empty" error on the DR1's and DR3's. Mike needed to restore the missing universes that were deleted as part of clean up.	22.0
17		8/4/2004	Note "Numbering Correction" (Sue) – Matt/Dennis	Two committees were assigned the wrong numbers. Matt corrected them in the database.	1.0
18		8/5/2004	Note "XML import into WRS" (Karen) – Matt/Murali/Dennis	IECDB had a call from a committee that uses the XML import for their WRS filings. They had been using it without problem, but on Monday they had a problem. After he clicks on upload, he gets a blank screen instead of showing his listing of transactions. He re-created his file in case that was the problem and tried again this morning with the same result. He had his IT person double-check the file to be sure it was OK. ITE worked with the person to resolve it.	10.0
19		8/6/2004	Note "New Public View/Rejects folder" (Linda) – Murali/Dennis	IECDB staff needed permissions changed to gain access to the 'Rejects' folder. They then had questions we needed to research pertaining to the rejects.	12.0
20		8/9/2004	Note "BO report list does not come up" (Linda) – Dennis/Mike	The VeriSign certificate had expired and a new certificate had to be installed.	6.0
21		8/12/2004	Note "Manual User DR-2's in public view" (Linda) – Dennis/Murali	Linda had some questions on the reports in the new public view, such as the manually filed older reports. We researched and answered the questions.	7.0

Item #	Hours - Technical	Date			Hours - Customer
22		8/12/2004	Note "Correction please..." (Sue) – Matt/Dennis	Sue had a wrong date on a filed report and Matt went into the database and changed the date for her.	1.0
23		8/16/2004	Note "Correction of dates..." (Sue) – Matt/Dennis	Sue had another wrong date on a filed report and Matt went into the database and changed the date for her.	1.0
24		8/25/2004	Note "Manual User changes to committee user" (Linda) – Matt/Murali/Mike/Dennis	Linda had some instances when she amended a DR1 as manual user and then the app switched to the committee as the user. Researched but ITE and IECDB could not reproduce the error.	16.0
25		8/25/2004	Note "Change number request" (Sue) – Matt/Dennis	Committee was assigned wrong number. Matt corrected it in the database.	1.0
26	3.0	8/30/2004	Note "test system - period maintenance" (Karen) – Matt	The admin passwords in the test system had expired and Matt reset them all.	
27		8/30/2004	Note "supplementary dates - pre-general" (Linda) – Matt	Matt reset filing period dates for supplementary periods to correct dates. Matt and Linda checked them out.	10.0
	4.0		Totals for Month		87.0

Item #	Hours - Technical	Date		Hours - Customer
28		9/1/2004	Note "Print/View DR3 Not Working" (Linda) – Mike/Matt/Dennis	The Print/View for the some DR3's was not working; they returned no data. After much research is was discovered that for the DR3 to create a report the application is expecting the committee to have a chairperson. If no committee chairperson it doesn't pull the data from the table. We're not sure why that is, but it appears that it has always worked that way.	24.0
29		9/3/2004	Note "#681 Arnold committee and #1444 Committee to Elect Wes Whitead"(Linda) –Matt/Mike/Dennis	Linda has had lots of problems with the filings for these two committees. We finally had to restage the data to get them into public view and Matt resolved the other problems.	11.0
30	3.0	9/10/2004	Note "Business Objects reports link unavailable" (Linda) – Mike/Dennis	The BO reports link was not available in the WRS. Business Objects had to be rebooted.	
31		9/10/2004	Note "Committee Number Change" (Sue) – Matt	A committee was assigned the wrong number. Matt corrected it in the database.	1.0
32		9/14/2004	Note "WRS - Period Wizard question" (Karen) – Matt	Karen needed to know where and how to change the description paragraph of a filing period. Matt answered her questions.	1.0
33		9/24/2004	Note "scanned docs server" (Karen) – Dennis	Karen was having a problem connecting to the scanned documents server so she could move documents over. Dennis coordinated to get this resolved.	2.0
34		9/24/2004	Note "public server, my machine" (Sharon) – Dennis	Sharon was having a problem connecting to the scanned documents server so she could move documents over. Dennis coordinated to get this resolved.	2.0
35	20.0	9/29/2004	Note "Amendments not in Public View #1319" (Linda) – Mike/Murali/Dennis	Several reports were not showing in public view when they should. Mike discovered a program on the BO server that was hanging. This was fixed and the reports were all placed in public view on Monday.	

23.0	Totals for Month	41.0

Item #	Hours - Technical	Date		Hours - Customer
36	26.0	10/6/2004	Note "Unable to print/view DR2 or create BO reports in WRS" (Linda) – Mike/Dennis	The DR2 print/view and the audit/admin reports were not working. After debugging is was discovered that the PSCP process wasn't working correctly. Process was reworked to use a different method.	
37		10/6/2004	Note "rejects" (Karen) – Murali/Dennis	Some files from the rejects folder were unintentionally deleted. We restored the missing files for IECDB.	6.0
38	1.0	10/7/2004	Note "WRS not responding" (Linda) – Dennis	The application was restarted	
39	10.0	10/11/2004	Note "WRS filings for October 19" (Karen) – Mike/Murali/Dennis	Reports that should have been showing up in the public view weren't there. We implemented permanent fix for the problem.	
40		10/14/2004	Note "WRS filings for October 19" Extra run of BO Reports on 10/19 (Karen) – Mike/Murali	Set up the nightly BO process to run two extra runs during the day on the 19th. Parts to be set up included setting the triggers, creating the BO reports, moving them to the IECDB server, and running the process to create the directories and rename the reports and move the reports to the directories.	12.0
41	1.0	10/18/2004	Note "WRS NOT RESPONDING - INTERNAL SERVER ERROR" (Linda)–Dennis	The application went down on Sunday and was restarted on Monday morning.	
42	4.0	10/18/2004	Note "cannot approve a new DR-1" (Karen) – Matt/Dennis	Karen was getting an "unexpected error" message when trying to approve a new DR1. Matt discovered it was a database issue and resolved the problem.	
43	8.0	10/19/2004	Note "WRS Public View - Reports filed yesterday not in view" (Linda) – Mike/Murali	Murali discover the server side process hadn't been run; probably a timing issue. The reports were run manually.	
44		10/20/2004	Note "Iowa Democratic Party #9098 7-15-04 to 10-15-04" (Linda & Theresa Kehoe) – Matt/Dennis	IDP submitted the XML data in the wrong format and we couldn't process it for them. Matt worked with Theresa Kehoe on it.	4.0

Item #	Hours - Technical	Date			Hours - Customer
45	8.0	10/20/2004	Note "WRS Public View - Reports filed yesterday not in view" (Linda) – Mike/Dennis	There was a failure on the server side of the processing for these reports. The reports were run manually.	
46	10.2	10/20/2004	Note "WRS" (Sue) – Mike/Dennis	Missing summary page, but the schedules were in the public view. Mike resolved this for Sue. Move production data to test/dev – Marshall 1.5 hrs	
47	8.0	10/22/2004	Note "amendment from yesterday not in public view" (Linda) – Mike/Murali	There was a failure on the server side of the processing for these reports. The reports were run manually.	
48		10/27/2004	Note "WRS filings for October 19" Extra run of BO Reports on 10/29 (Linda) – Mike/Murali	Set up the nightly BO process to run two extra runs during the day on the 29th. Parts to be set up included setting the triggers, creating the BO reports, moving them to the IECDB server, and running the process to create the directories and rename the reports and move the reports to the directories.	6.0
	76.2		Totals for Month		28.0
	155.2		YTD Totals		212.0